

#3



Please type a plus sign (+) inside this box → ☐

PTO/SB/01 (10-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION</b> (37 CFR 1.63)	<b>Attorney Docket Number</b>	600-1-280N
	<b>First Named Inventor</b>	Sanford Simon et al.
	<b>COMPLETE IF KNOWN</b>	
	<b>Application Number</b>	09/982,120/
	<b>Filing Date</b>	October 17, 2001
	<b>Group Art Unit</b>	TBA
<input type="checkbox"/> Declaration Submitted with Initial Filing	<b>OR</b>	<input checked="" type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)
<b>Examiner Name</b>		TBA

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**ANIMALS, CELLS AND METHODS FOR PRODUCTION OF DETECTABLY-LABELED ANTIBODIES**

(Title of the Invention)

the specification of which

☐ is attached hereto

**OR**

☒ was filed on (MM/DD/YYYY) **October 17, 2001** as United States Application Number or PCT International Application Number **09/982,120** and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.
60/241,053	October 17, 2000	

COPY OF PAPERS  
ORIGINALLY FILED

Please type a plus sign (+) inside this box



PTO/SB/01 (10-00)  
Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

## DECLARATION — Utility or Design Patent Application

Direct all correspondence to: ☒ Customer Number or Bar Code Label **23565** OR ☐ Correspondence address below

Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :

☐ A petition has been filed for this unsigned inventor

Given Name

Sanford M.

Family Name

Simon

(first and middle [if any])

or Surname

Inventor's  
Signature

*[Signature]*

Date

Residence: City

New York

N.Y.  
State

U.S.  
Country

U.S.  
Citizenship

Mailing Address

Mailing Address 5 Stuyvesant Oval, No. 11B

City New York

N.Y.  
State

ZIP 10009

U.S.  
Country

NAME OF SECOND INVENTOR:

☐ A petition has been filed for this unsigned inventor

Given Name

Yu

Family Name

Chen

(first and middle [if any])

or Surname

Inventor's  
Signature

*[Signature]*

Date

1/17/02

Residence: City

New York

N.Y.  
State

U.S.  
Country

U.S.  
Citizenship

Mailing Address

Mailing Address 1230 York Avenue

City New York

N.Y.  
State

ZIP 10021

U.S.  
Country

☐ Additional inventors are being named on the \_\_\_\_\_ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

(Page 2 of 2)

GLORIA CHANG DIGENNARO  
Notary Public, State of New York

No. 4884704

Qualified In New York County  
Commission Expires Jan. 12, 2003

*[Signature]*  
1/17/02



Please type a plus sign (+) inside this box → ☐

PTO/SB/81 (10-00)  
Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	600-1-280N
Filing Date	October 17, 2001
First Named Inventor	Sanford Simon et al.
Group Art Unit	TBA
Examiner Name	TBA
Attorney Docket Number	600-1-280N

I hereby appoint:

☒ Practitioners at Customer Number

Place Customer  
Number Bar Code  
Label here

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☐ Firm or  
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

### SIGNATURE of Applicant or Assignee of Record

Name	Kathleen A. Denis, Senior Director of Technology Transfer
Signature	<i>Kathleen A. Denis</i>
Date	18 December 2001

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☐ \*Total of \_\_\_\_\_ forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**COPY**  
**ASSIGNMENT**

WHEREAS, WE,

**Sanford M. Simon**, a citizen of the United States, residing at  
5 Stuyvesant Oval, No. 11B  
New York, New York 10009; and

**Yu Chen**, a citizen of the United States, residing at  
1230 York Avenue,  
New York, New York 10021;

have invented certain new and useful improvements in

**ANIMALS, CELLS AND METHODS FOR PRODUCTION OF DETECTABLY-  
LABELED ANTIBODIES**

for which we have filed an Application for Letters Patent in the United States on , and was  
accorded U.S. Serial No. 09/982,120; and

WHEREAS, **THE ROCKEFELLER UNIVERSITY**,  
an educational corporation organized and existing under  
the laws of the State of New York,  
with offices at 1230 York Avenue, New York NY 10021-6399,

ASSIGNEE, is desirous of obtaining the entire right, title and interest in, to and under the said  
improvements and the said application;

NOW, THEREFORE, for other good and valuable consideration, the receipt of which  
is hereby acknowledged, we the said

**SANFORD M. SIMON and YU CHEN**

have sold, assigned, transferred and set over, and by these presents do hereby sell, assign,  
transfer and set over, to the said

**THE ROCKEFELLER UNIVERSITY,**

its successors, legal representatives and assigns, the entire right, title and interest in, to and  
under the said improvements, and the said application and all divisions, renewals, and  
continuations thereof, and all Letters Patent of the United States which may be granted  
thereon and all reissues and extensions thereof, and all applications for Letters Patent which  
may hereafter be filed for said improvements in any country or countries foreign to the United  
States, including the right to claim priority under the terms of any appropriate International  
Convention based upon said application for Letters Patent of the United States, and all Letters  
Patent which may be granted from said improvements in any country or countries foreign to  
the United States and extensions, renewals and reissues thereof; and we hereby authorize and

request the Commissioner of Patents and Trademarks of the United States and any official of any country or countries foreign to the United States, whose duty is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said

THE ROCKEFELLER UNIVERSITY,

its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant that we have full right to convey the interest herein assigned in the manner hereinabove set forth, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said

THE ROCKEFELLER UNIVERSITY,

its successors, legal representatives and assigns, any fact known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisions, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said

THE ROCKEFELLER UNIVERSITY,

its successors, legal representatives and assigns, to obtain and enforce proper Patent Protection for said improvements in the United States.

IN TESTIMONY WHEREOF, we hereunto set our hand and seal the day and year set opposite our signatures.

Date JAN 17, 2002

  
\_\_\_\_\_  
SANFORD M. SIMON L.S.

State of New York :  
: ss.  
County of New York :

Before me this 17<sup>th</sup> day of January, 2002, personally appeared Sanford M. Simon, to me personally known to be the person who is described in and who executed the above instrument, and acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Gloria Chang Digennaro  
NOTARY PUBLIC

(Affix Seal Here)

GLORIA CHANG DIGENNARO  
Notary Public, State of New York  
No.4884704  
Qualified In New York County  
Commission Expires Jan. 12, 2003

Date 1/17, 2002

Yu Chen L.S.  
YU CHEN

State of New York :  
: ss.  
County of New York :

Before me this 17<sup>th</sup> day of January, 2002, personally appeared Yu Chen, to me personally known to be the person who is described in and who executed the above instrument, and acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Gloria Chang Digennaro  
NOTARY PUBLIC

(Affix Seal Here)

GLORIA CHANG DIGENNARO  
Notary Public, State of New York  
No.4884704  
Qualified In New York County  
Commission Expires Jan. 12, 2003



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Sanford Simon and Yu Chen

Application No./Patent No.: 09/982,120

Filed/Issue Date: October 17, 2001

Entitled: ANIMALS, CELLS AND METHODS FOR PRODUCTION OF DETECTABLY...

The Rockefeller University, a an educational corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. [ ] An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. [ ] A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

[ ] Additional documents in the chain of title are listed on a supplemental sheet.

[x] Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

18 Dec 2001  
Date

Kathleen A. Denis, Senior Director

Typed or printed name

Kathleen A. Denis  
Signature

Title

COPY OF PAPERS  
ORIGINALLY FILED